

R10 InfoPage

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Q&D - Office of Environmental Assessment Records Disposition Schedules

RECORD SERIES DESCRIPTION	DISPOSITION	NARA #
Link to the common	Link to your full printable	
Housekeeping Schedules	OEA - Immed. Office	
not included in this table	File Plan Spreadsheet	
<p>CONFERENCES, SEMINARS, ASSOCIATIONS, AND SOCIETIES: Includes records related to the participation or sponsorship of EPA staff in professional associations, societies, and related groups. Records consist of conference literature, trip reports, meeting agendas and arrangements, evaluations, copies of papers and other materials collected during participation, and other related records.</p> <p>Item a: Record copy</p> <p>Function: 305-109-02-04 459</p>	<p>Item a: Disposable Close inactive records at end of calendar year. Destroy 2 years after file closure.</p>	<p>N1-412-06-6/7</p> <p>Status: Final, 02/01/2007</p>
<p>CONTROLLED & MAJOR CORRESPONDENCE: Includes signed controlled and major correspondence. The correspondence significantly documents the program activities and was processed under special handling control procedures because of the importance of the letters or time requirements of replies. Records consist of copies of incoming letters, copies of the responses, and enclosures. Also includes indexes to the correspondence.</p> <p>Item b: Other federal employees</p> <p>Function: 404-141-02-01 141</p>	<p>Item b: Disposable Close inactive records at end of year. Destroy 10 years after file closure.</p>	<p>N1-412-06-10</p> <p>Status: Final, 2/28/2011</p>
<p>DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS: Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.</p> <p>Item a(1): Published or released to the public and related background materials - Nonelectronic Item a(2): Published or released to the public and related background materials - Electronic Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives Item b: Unpublished or not released to the public and related background materials</p> <p>Function: 306-112 007</p>	<p>Item a(1): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records upon decision to not publish or issue.</p>	<p>N1-412-06-7</p> <p>Status: Final, 12/31/2010</p>

final draft and final deliverables, products, and reports submitted by contractors and grantees to the Agency, or produced in-house by individuals, committees, or task forces. Also includes final reports resulting from special studies and surveys completed within the Agency.

Item a(1): Environmental programs, except Superfund site-specific - Nonelectronic

Item a(2): Environmental programs, except Superfund site-specific - Electronic

Item a(3): Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives

Item b: Superfund site-specific

Item c: Non-environmental programs

Function: 305-109-01 **258**

Close inactive records upon completion of project.

Transfer to the National Archives 20 years after file closure.

Status: Final,
2/28/2011

Item a(2):Permanent

Close inactive records upon completion of project.

Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item a(3):Disposable

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

Item b:Disposable

Close inactive records upon completion of project.

Destroy 30 years after file closure.

Item c:Disposable

Close inactive records upon completion of project.

Destroy 7 years after file closure.

INPUT AND SOURCE RECORDS - NONELECTRONIC:

This item covers input and source records used to create, update, or modify electronic records when the electronic records are retained to meet recordkeeping requirements and are covered by a NARA-approved schedule.

Item a(1): Hard copy documents that NARA has specifically designated as permanent records that must be transferred to NARA in hard copy format, even if records have been copied/converted to an electronic format

Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).

Item a(2): Hard copy records previously approved as permanent that are converted to electronic records where the electronic records do not meet NARA's transfer standards for permanent electronic records in effect at the time of conversion

Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).

Item a(3): Hard copy documents that contain information that is not or cannot be captured in the electronic version of the records (e.g., certain handwritten annotations)

Includes such records as hard copy forms used for data input as well as hard copy documents that are scanned into an electronic recordkeeping system (e.g., correspondence, reports, still pictures, maps, etc.).

Item a(4): Hard copy documents other than those

Item a(1):Permanent

Transfer to NARA in accordance with previously approved schedule.

Item a(2):Permanent

Transfer to NARA in accordance with previously approved schedule.

Item a(3):Varies

Apply previously approved schedule.

Item a(4):Disposable

Destroy after the information has been converted to an electronic medium and verified, when no longer needed for legal or audit purposes or to support the reconstruction of, or serve as a backup to, the electronic records, or 60 days after NARA has been provided the notification required by 36 CFR 1228.31(b)(1)(i), whichever is later.

Item b:Disposable

Delete when data have been entered into the master file or database and verified, or when no longer required to support reconstruction of, or serve as backup to, a master file or database, whichever is later.

Item c:Disposable

Delete when data have been entered into the master file or database and verified, or when no longer needed to support reconstruction of, or serve as backup to, the master file or database, whichever is later.

Item d:Disposable

GRS 20/2

Status: Final,
04/30/2008

<p>audit and legal purposes Excludes electronic records as noted in item c. Item c: Electronic records received from another agency and used as input/source records by the receiving agency Excludes records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency. Item d: Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or database</p>			
<p>Function: 404-142-01 171</p>			
<p>PUBLICATIONS & PROMOTIONAL ITEMS: Files consist of general and technical literature and promotional items along with finding aids and indices used to access collections of publications. General and technical literature includes any manuals, handbooks, brochures, newsletters, or pamphlets developed for use by Agency staff or for distribution to regions, states, other government agencies, the regulated community, and the public. Promotional items include brochures, pamphlets, posters, comic books, buttons, and bumper stickers. Also includes official portraits of senior Agency officials.</p> <p>Item a(1): Items depicting EPA's environmental mission activities - Nonelectronic</p> <p>Item a(2): Items depicting EPA's environmental mission activities - Electronic</p> <p>Item a(3): Items depicting EPA's environmental mission activities - Electronic copy of records transferred to the National Archives</p> <p>Item b: Routine publications or promotional items</p> <p>Item c: Working papers and background materials</p>	<p>Item a(1):Permanent Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2):Permanent Close inactive records upon publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Destroy 5 years after file closure.</p> <p>Item c:Disposable Close inactive records after publication or when document becomes obsolete, is superseded, or no longer needed to support program activities. Destroy 2 years after file closure.</p>	<p>N1-412-06-9</p> <p>Status: Final, 04/30/2012</p>	
<p>Function: 305-109-02-04 250</p>			
<p>REGULATIONS, STANDARDS, & GUIDELINES: Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring</p>	<p>Item a(1): Permanent Close inactive records upon promulgation of rule or approval of guideline. Transfer to the National Archives 20 years after file closure. If record is</p>	<p>N1-412-07-2/6</p> <p>Status: Final, 02/29/2008</p>	

<p>support material generated during the process to develop and approve the regulation, standard, or guideline, along with current indexes of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted</p> <p>Item a(1): Published regulations, standards, and guidelines - Nonelectronic</p> <p>Item a(2): Published regulations, standards, and guidelines - Electronic</p> <p>Item a(3): Published regulations, standards, and guidelines - Electronic copy of records transferred to the National Archives</p> <p>Item b: Unpublished regulations, standards, and guidelines</p> <p>Function: 306-114 149</p>	<p>Close inactive records upon promulgation of rule or approval of guideline.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records upon decision to not publish the regulation, standard, or guideline.</p> <p>Destroy 10 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p>	
<p>RESPONSE TO AUDIT, EVALUATION, AND INVESTIGATION: Includes records used to document and track the Agency's response to audit, evaluation, and investigation processes conducted internally (e.g., by Inspector General (IG)), or externally (e.g., by Government Accountability Office (GAO)). Audits and evaluations may be initiated by EPA, by an outside agency with oversight over EPA, or requested by Congress. Records relating to these special projects include controlled and follow-through correspondence, conference materials, issue and position papers, responses, work plans, studies, corrective actions, tracking/milestones and related records.</p> <p>Records related to the Federal Managers Financial Integrity Act (FMFIA) include: documentation of internal control objectives and techniques, work plans, status reports on conduct of internal control reviews, correction of reported material weaknesses, and related materials such as corrective action strategy, audit follow-up, annual assurance letter, and internal control review reports and supporting documentation.</p> <p>Item a: Record copy</p> <p>Function: 301-091 082</p>	<p>Item a: Disposable Close inactive records when corrective action is complete.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-1/2</p> <p>Status: Final, 04/30/2008</p>
<p>SPECIAL STUDIES: Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides.</p> <p>Excludes: Final studies and surveys scheduled as EPA 258 and management studies scheduled as EPA 105.</p> <p>Item a: Record copy</p> <p>Function: 108 005</p>	<p>Item a: Disposable Close upon completion of study.</p> <p>Destroy 7 years after file closure.</p>	<p>N1-412-07-1/1</p> <p>Status: Final, 7/31/2010</p>
<p>SPEECHES & TESTIMONY: Contains speeches and presentations prepared for delivery while representing the Agency at EPA-sponsored meetings, and government, civic and professional</p>	<p>Item a(1): Permanent Close inactive records at end of calendar year.</p>	<p>N1-412-06-8</p> <p>Status: Final, 1/31/2011</p>

<p>Item a(1): Senior officials - Nonelectronic</p> <p>Item a(2): Senior officials - Electronic</p> <p>Item a(3): Senior officials - Electronic copy of records transferred to the National Archives</p> <p>Item b: Other federal employees when the speeches are not necessary to document the Agency or its programs.</p> <p>Function: 305-109-02-04 140</p>	<p>Close inactive records at end of calendar year.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records at end of calendar year.</p> <p>Destroy 5 years after file closure</p>	<p>N1-412-06-11</p> <p>Status: Final, 04/30/2012</p>
<p>TRAINING MATERIAL: Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.</p> <p>Excludes: Records for training administered by the Personnel program scheduled as EPA 571.</p> <p>Item a: Routine training materials. Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency.</p> <p>Item c(1): Mission-related training materials - Nonelectronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Item c(2): Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Function: 305-109-02-04 200</p>	<p>Item a: Disposable Close inactive records after course or material is superseded.</p> <p>Destroy 5 years after file closure.</p> <p>Item c(1):Permanent Close inactive records after course or material is superseded.</p> <p>Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item c(2): Permanent Close inactive records after course or material is superseded.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item c(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-11</p> <p>Status: Final, 04/30/2012</p>
<p>WATER QUALITY PLANNING & MANAGEMENT FILES: Contains documents relating to water quality planning, management and implementation undertaken by EPA, states, interstate, regional and local agencies. Also includes documents dealing with nonpoint source implementation projects and information on projects such as reservoirs, and nuclear</p>	<p>Item a(1):Permanent Close inactive records at end of year.</p> <p>Transfer to the National Archives 10 years after file closure.</p> <p>Item a(2):Permanent</p>	<p>N1-412-08-7/2</p> <p>Status: Final, 2/28/2011</p>

Daily Loads), load allocation working papers, water quality models, correspondence and other related documents.

Item a(1): Final plans and annual and biennial reports - Nonelectronic
Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.

Item a(2): Final plans and annual and biennial reports - Electronic
Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.

Item a(3): Final plans and annual and biennial reports - Electronic copy of records transferred to the National Archives
Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.

Item b: Supporting files

Function: 108-025-02 **213**

EPA NON-RECORDS: Consists of nonrecord copies. Nonrecord materials are those Agency-owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts.

Function: 0 **008**

[Accessibility](#)

5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item a(3):Disposable

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

Item b:Disposable

Close inactive records at end of year.

Destroy 10 years after file closure.

Item a:Disposable

Close when obsolete, superseded or no longer needed for reference.

Destroy immediately after file closure.

NOT APPLICABLE

Status: Final, 02/12/2007

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